



APR 27 2006

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OIPR

PTO/SB/17 (12-04v2)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL For FY 2006

Effective on 12/08/2004.

Consolidated Appropriations Act, 2005 (H.R. 4818).

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$)

0.00

## Complete if Known

Application Number	10/652,997
Filing Date	August 29, 2003
First Named Inventor	Lawrence Yium-Chee Chiu, et al.
Examiner Name	Duc T. Doan
Art Unit	2188
Attorney Docket No.	ARC920030012US1

## METHOD OF PAYMENT (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 09-0441 Deposit Account Name: International Business Machines

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17  Credit any overpayments

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## FEE CALCULATION

### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

### 2. EXCESS CLAIM FEES

#### Fee Description

Each claim over 20 (including Reissues)

#### Small Entity

Fee (\$)

Fee (\$)

Each independent claim over 3 (including Reissues)

50

25

Multiple dependent claims

200

100

360

180

Total Claims Extra Claims Fee (\$) Fee Paid (\$)

- 20 or HP = \_\_\_\_\_ x 50.00 = \_\_\_\_\_

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims Extra Claims Fee (\$) Fee Paid (\$)

- 3 or HP = \_\_\_\_\_ x 200.00 = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3.

#### Multiple Dependent Claims

Fee (\$)

Fee Paid (\$)

### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
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- 100 = \_\_\_\_\_ / 50 = \_\_\_\_\_ (round up to a whole number) x \_\_\_\_\_ = \_\_\_\_\_

### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Fees Paid (\$)

Other (e.g., late filing surcharge): \_\_\_\_\_

\_\_\_\_\_

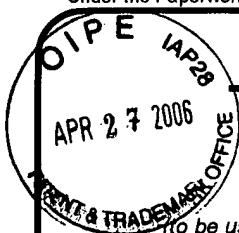
## SUBMITTED BY

Signature		Registration No. (Attorney/Agent) 46,938	Telephone 408-927-3380
Name (Print/Type)	Edmund H. Mizumoto	Date April 21, 2006	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

13

Application Number	10/652,997
Filing Date	08/29/2003
First Named Inventor	Lawrence Yium-Chee Chiu, et al.
Group Art Unit	2188
Examiner Name	Duc T. Doan

Attorney Docket Number **ARC920030012US1****ENCLOSURES (check all that apply)**

- |   |                                       |
|---|---------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form  | <input type="checkbox"/> Fee Attached |
| <input checked="" type="checkbox"/> Amendment / Reply Response to Final Office Action dated Feb. 21, 2006 |                                       |
| <input type="checkbox"/> After Final  |                                       |
| <input type="checkbox"/> Affidavits/declaration(s)  |                                       |
| <input type="checkbox"/> Extension of Time Request  |                                       |
| <input type="checkbox"/> Express Abandonment Request  |                                       |
| <input type="checkbox"/> Information Disclosure Statement   |                                       |
| <input type="checkbox"/> Certified Copy of Priority Document(s)   |                                       |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application                                |                                       |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53                              |                                       |

- |   |
|---|
| <input type="checkbox"/> Assignment Papers (for an Application)                         |
| <input type="checkbox"/> Drawing(s)   |
| <input type="checkbox"/> Licensing-related Papers                                       |
| <input type="checkbox"/> Petition   |
| <input type="checkbox"/> Petition to Convert to a Provisional Application               |
| <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address |
| <input type="checkbox"/> Terminal Disclaimer  |
| <input type="checkbox"/> Request for Refund   |
| <input type="checkbox"/> CD, Number of CD(s) _____                                      |

- |  |
|--|
| <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Status Letter   |
| <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| Authorization to Act in a Representative Capacity  |

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name

Edmund H. Mizumoto

Reg. No. 46,938

Signature

Date

04/21/2006

**CERTIFICATE OF MAILING**

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04/21/2006

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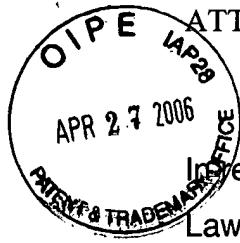
Cheryl G. Ruby

Signature

Date

04/21/2006

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ATTORNEY DOCKET NO. ARC920030012US1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : April 21, 2006  
Lawrence Yium-Chee Chiu, et al. : Group Art Unit: 2188  
Serial No.: 10/652,997 : Examiner: Doan, Duc T.  
Filed: August 29, 2003 : San Jose, California

Title: "A STORAGE SYSTEM AND METHOD FOR PRESTAGING DATA IN A CACHE FOR IMPROVED PERFORMANCE"

AUTHORIZATION TO ACT IN A REPRESENTATIVE CAPACITY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The practitioner named below is authorized to conduct interviews and has the authority to bind the principal concerned. Furthermore the practitioner is authorized to file correspondence in the above identified application pursuant to 37 CFR 1.34:

Name Registration Number  
Edmund H. Mizumoto 46,938

Signature of Practitioner of Record

Signature: Daniel E. Johnson Date: April 21, 2006

Name: Daniel E. Johnson Registration No. 37,033

Telephone: 408-927-3367

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on April 21, 2006.

Signed: Cheryl Ruby  
Cheryl Ruby